

## MATRIX OF DOCUMENTS, REPORTS, AND/OR DATA

### COUNTY SUBMISSION REQUIREMENTS FOR THE DEPARTMENT OF ALCOHOL AND DRUG PROGRAMS

<b>Division/Branch/ Section</b>	<b>Name of Document, Report, or Data</b>	<b>Due Date(s) to ADP</b>	<b>Authority for ADP Requesting Document/Report/Data</b>	<b>Purpose of Report/Document/Data</b>
Division of Administration, Audit Services Branch	A-133 Audit Report	3/31 (Annually)	OMB Circular A-133 Single Audit Report	Requirement of Single Audit Act for audits of federal funds
Office of Criminal Justice and Planning (OCJC), Offender Treatment Program (OTP)	OTP Invoice	3/31, 6/30, 9/30, 12/31 (Quarterly)	All County Lead Agency Letter (ACLA) 06-12 Health and Safety Code (HSC) Section 11999.30	Distribution of OTP funding
OCJC, OTP	OTP Letter of Intent	8/25 (Annually depending on the release of the Budget Act)	ACLA 06-07 HSC Section 11999.30	Planning for distribution of OTP funding
OCJC, OTP	OTP Application	10/10 (Annually depending on the release of the Budget Act)	ACLA 06-09 HSC Section 11999.30	Planning for distribution of OTP funding
OCJC, Substance Abuse and Crime Prevention Act (SCAPA)/OTP	SACPA Quarterly Report	3/31, 6/30, 9/30, 12/31 (Quarterly)	ACLA 06-13 HSC Section 11999.30	Data gathering to measure program outcomes for all clients funded by SACPA/OTP funds
OCJC, SACPA	Biannual Program Report - Expenditures and other services Client/ Waiting List Counts	1/31 and 7/31 (Biannually)	HSC Section 11999.11	Program planning and improvement
OCJC, SCAPA	County Plan	5/1 (Annually depending on the release of the Budget Act)	California Code of Regulations, Title 9, Chapter Ch 20.5, Section 9515	Program planning and improvement

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OCJC, SCAPA	Financial Status Report	9/30 (Annually)	HSC Section 11999.11	Track county SACPA expenditures
OCJC, Comprehensive Drug Court Implementation (CDCI) (Adult)	Multi Agency Plan	12/31 (Annually)	HSC Section 11970.2	Program planning
OCJC, CDCI (Adult)	Notice of Grant Award (signed)	12/31 (Annually)	HSC Section 11970.35	Grant award for funds
OCJC, CDCI, Dependency Drug Court – DDC)	Multi Agency Plan	6/30 (Annually)	HSC Section 11970.2	Program planning
OCJC, CDCI (DDC)	Notice of Grant Award (signed)	6/30 (Annually)	HSC Section 11970.2	Grant award for funds
OCJC, Drug Court Partnership (DCP)	Notice of Grant Award (signed)	6/30 (Annually)	HSC Section 11970.45	Grant award for funds
OCJC, CDCI (Adult, DDC, and DCP)	Data Evaluation	10/31, 1/31, 4/30, 7/31 (Quarterly)	HSC Section 11970.2	Data gathering to measure program outcomes
OCJC, CDCI (Adult, DDC, and DCP)	Quarterly Claim for Reimbursement	10/31, 1/31, 4/30, 7/31 (Quarterly)	HSC Section 11970.2	Reimbursement for county expenditures
OCJC, CDCI (Adult, DDC, and DCP)	Budget Narrative Report	10/31, 1/31, 4/30, 7/31 (Quarterly)	HSC Section 11970.2	County quarterly goals and objectives
OCJC, Driving Under the Influence	DUI Programs Compliance	6/30 (Annually)	HSC Section 11837.6 (b)	To monitor program compliance with statutes and regulations

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OCJC, Parolee Services Network (PSN)	County Monthly Activity Report	45 days after the end of the reporting month (Monthly)	Interagency Agreement with California Department of Corrections and Rehabilitation (CDCR)	Allow cumulative tracking of county expenditures and client activities
OCJC, PSN	Quarterly Activity Report	45 days after the end of the reporting quarter (Quarterly)	Interagency Agreement with CDCR	Summary of monthly activity reports
OCJC, PSN	Annual work plan	5/15 (Annually)	Interagency Agreement with CDCR	Primary document specifying the exact services that each county purchases with its PSN funding
Information Management Services Division (IMSD), Data Management Services Section	CalOMS Treatment Data Files	45 days after the end of the reporting month (Monthly)	HSC Sections 11755(o) and 11758.29(e)	Meet federal requirements for reporting client treatment data and to provide data needed by state and counties for planning, budgeting and reporting
IMSD, Data Management Services Section	Drug and Alcohol Treatment Access Report (DATAR) Data Files	10 days after the end of the reporting month (Monthly)	45 CFR 96, Sections 96.126 and 96.131	Meet federal capacity/waiting list requirements and to provide data needed for capacity management
IMSD, Office of Applied Research and Analysis	Drug Court Data Files for Adult, Dependency and Juvenile Drug Courts	30 days after the end of each quarter (Quarterly)	Drug Court Partnership Act of 1998  Drug Court Implementation Act of 1999	To measure and evaluate cost-benefit effectiveness of drug courts
Licensing and Certification (LCD), Policy and Program Support Branch (PPSB), Program Support	Annual License Renewal for Narcotic Treatment Programs (NTPs)	5/31 (Annually)	CCR, Title 9, Section 10055(b)(2)	Recommendation for each NTP license renewal

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LCD, PPSB, Program Support	Initial Licensure for NTPs	Once before ADP reviews	CCR, Title 9, Section 10040	A certification of need for the proposed NTP, a certification that all local ordinances, fire regulations, and local planning agency requirements have been complied with, and a recommendation for program licensure
LCD, PPSB, Program Support	Relocation for NTPs	Once before ADP reviews	Policy	Recommendation for new program address
LCD, PPSB, Program Support	County Certification Form	Once before ADP approves	Policy	Recommendation <ul style="list-style-type: none"> <li>- patient slot increase</li> <li>- patient slot decrease</li> <li>- to allow NTPs to enter patients into maintenance treatment without two year history of opiate addiction and without two failed detoxes.</li> </ul>
LCD/PPSB/Program Support	Adolescent Waiver	Every time an adult program wants to serve adolescents (Only Once)	Title 9, Section 10605	To demonstrate need for adolescent services
LCD/PPSB/Program Support	Alcohol and Other Drug (AOD) Program Certification	Prior to Certification (Once and if relocation occurs)	Alcohol and/or Other Drug Certification Standards 3035(c)	Zoning approval

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LCD/PPSB/Program Support	Application for Certification and/or Licensure	Prior to Review and Approval (Continuous until approval as well as at renewal either annually or biannually)	Title 9, Section 11834.01 for Residential Licensure. Title 9, Section 10010 for Narcotic Treatment Programs. Policy for Certification.	To apply for licensure or certification
PSD Prevention, Prevention Policy & Program Implementation (PPPI)	California Outcome Measure Service (CalOMS) - Prevention	Entered continually. County must review to assure accuracy, then release to ADP by the end of the month following the end of each SFY quarter (due 10/31, 1/31, 4/30 and 7/31).	Data required for SAPT block grant application  Negotiated Net Amount (NNA) contract requirement	National Outcome Measure data is required for SAPT block grant funding
PSD Prevention, PPPI	County prevention plan – Strategic Prevention Framework	In place by 7/1/07 Plans may cover one to three years and may be updated.	NNA contract requirement	County plan is required to have a) problem statements, b) goals and c) objectives in CalOMS Prev so provider service data can be linked with the objectives
PSD Prevention, Program Management	Safe and Drug Free Schools (SDFSC) progress report (and claim)	1/31, 4/30, 7/31, 10/31 (Quarterly – 30 days after calendar quarter)	Federal discretionary grant requirements; condition of accepting the grants	Requirement of SDFSC from U.S. Dept of Education; Report progress on project goals and objectives
PSD Prevention, Program Management	State Incentive Grant (SIG) progress report (and claim); SIG only applies to the 13 counties; these end with October 2007 reports	1/31, 4/30, 7/31, 10/31 (Quarterly – 30 days after calendar quarter)	Federal discretionary grant requirements; condition of accepting the grants	Requirement of SIG from SAMHSA to the state;  Report progress on project goals and objectives.

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PSD – Treatment, Program and Fiscal Policy Branch (PFPB), Fiscal Section	Quarterly Federal Financial Management Report (QFFMR)	Due to ADP no later than 2 months after the end of the federal fiscal year quarter (Quarterly, based on the federal fiscal year)	SAMHSA grant requirement	Ensure counties do not have more than 30 days worth of federal funds on hand.  In addition, allows ADP to determine whether counties are at risk of losing funding from the failure to spend funds.
PSD – Treatment, Program Management Branch (PMB)	County Monitoring Tool	30 days from receipt of request (Annually)	NNA Contract	Compliance monitoring of NNA requirements
PSD – Treatment, PMB	Certification of Compliance with the NNA	30 days from receipt of request (Annually)	NNA Contract (45 CFR, Part 96)	Compliance monitoring of NNA requirements
PSD – Treatment, PMB	Charitable Choice	July 10 (Annually)	42 U.S.C. 300x-65, 42 U.S.C., Parts 54 and 54a, 45 CFR 96.122	Requirement of SAPT BG reporting
PSD – Treatment, Fiscal Management and Accountability Branch (FMAB)	Cost Reports and applicable Drug Medi-Cal (DMC) forms	November 1 (Annually)	NNA Contract HSC Section 11758.46(2)	Ensure expenditures meet Federal and State requirements
PSD – Treatment, FMAB	NNA/DMC Budgets	Twice a year - Fall = due within 60 days from release of the Budget Act Allocation - Spring = due by May 1 <sup>st</sup> of each fiscal year	HSC Section 11758	To encumber funds

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PSD – Treatment, FMAB	DMC claims and invoices	Within 30 days from the end of the service month (Monthly)	NNA/DMC Contract Title 22, Section 51490.1	To bill for AOD services to Medi-Cal beneficiaries
PSD – Treatment, FMAB	DMC Form = Provider Report of DMC Claim Adjustment (5035C)	As Required Per Form Instructions	Title 22, Section 51490.1	To report claims already been billed and approved that were erroneously billed
PSD – Treatment, FMAB	DMC Form = Multiple Billing Override (7700)	As Required Per Form Instructions	Title 22, Section 51490.1	To report DMC services that have been provided for the same client on the same day
PSD – Treatment, FMAB	DMC Form = Good Cause Certification (6065 )	As Required Per Form Instructions	Title 22, Section 51490.1	To report the reason for late submission of DMC claims